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COMMISSION

Washington, D.C. 20549

**ANNUAL AUDITED REPORT  
FORM X-17A-5  
PART III**

## OMB APPROVAL

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## FACING PAGE

**Information Required of Brokers and Dealers Pursuant to Section 17 of the  
Securities Exchange Act of 1934 and Rule 17a-5 Thereunder**REPORT FOR THE PERIOD BEGINNING 01/01/2008 AND ENDING 12/31/08  
MM/DD/YY MM/DD/YY**A. REGISTRANT IDENTIFICATION**NAME OF BROKER-DEALER: RAINMAKER SECURITIES, LLC  
ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)  
200 S. MICHIGAN AVENUE SUITE 2100

## OFFICIAL USE ONLY

FIRM I.D. NO.

(No. and Street)

CHICAGOIL.60604

(City)

(State)

(Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT

RICHARD F. BESTON, JR.312-896-8290

(Area Code - Telephone Number)

**B. ACCOUNTANT IDENTIFICATION**

INDEPENDENT PUBLIC ACCOUNTANT whose opinion is contained in this Report\*

WILLIAM A. BRONEC, LTD.

(Name - if individual, state last, first, middle name)

241 LAWTON RD.RIVERSIDEIL.60546

(Address)

(City)

(State)

(Zip Code)

## CHECK ONE:

- ☐ Certified Public Accountant  
☐ Public Accountant  
☐ Accountant not resident in United States or any of its possessions.

SEC Mail Processing  
Section

MAR 06 2009

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\*Claims for exemption from the requirement that the annual report be covered by the opinion of an independent public accountant must be supported by a statement of facts and circumstances relied on as the basis for the exemption. See Section 240.17a-5(e)(2)

SEC 1410 (06-02)

Potential persons who are to respond to the collection of  
information contained in this form are not required to respond  
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AB  
3/25

### OATH OR AFFIRMATION

I, RICHARD F. BESTON, JR., swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of RAINMAKER SECURITIES, LLC. of DECEMBER 31, 2008, are true and correct. I further swear (or affirm) that neither the company nor any partner, proprietor, principal officer or director has any proprietary interest in any account classified solely as that of a customer, except as follows:

NONE



Alissa C. Berresse  
Notary Public

Richard F. Beston Jr  
Signature  
President  
Title

This report \*\* contains (check all applicable boxes):

- ☒ (a) Facing Page.
- ☒ (b) Statement of Financial Condition.
- ☒ (c) Statement of Income (Loss).
- ☒ (d) Statement of Changes in Financial Condition.
- ☒ (e) Statement of Changes in Stockholders' Equity or Partners' or Sole Proprietors' Capital.
- ☒ (f) Statement of Changes in Liabilities Subordinated to Claims of Creditors.
- ☒ (g) Computation of Net Capital.
- ☒ (h) Computation for Determination of Reserve Requirements Pursuant to Rule 15c3-3.
- ☒ (i) Information Relating to the Possession or Control Requirements Under Rule 15c3-3.
- ☐ (j) A Reconciliation, including appropriate explanation of the Computation of Net Capital Under Rule 15c3-1 and the Computation for Determination of the Reserve Requirements Under Exhibit A of Rule 15c3-3.
- ☐ (k) A Reconciliation between the audited and unaudited Statements of Financial Condition with respect to methods of consolidation.
- ☒ (l) An Oath or Affirmation.
- ☐ (m) A copy of the SIPC Supplemental Report.
- ☐ (n) A report describing any material inadequacies found to exist or found to have existed since the date of the previous audit.

\*\*For conditions of confidential treatment of certain portions of this filing, see section 240.17a-5(e)(3).

**STATEMENT OF FINANCIAL CONDITION  
PURSUANT TO SEC RULE 17a-5(d)  
RAINMAKER SECURITIES, LLC  
As of December 31, 2008  
AVAILABLE FOR PUBLIC INSPECTION**

***William A Bronec, LTD.  
Certified Public Accountant  
241 Lawton Road  
Riverside, Illinois 60546  
Phone: 708-442-8092  
Fax: 708-442-6521***

***E-Mail: [billbronec@wabcpa.com](mailto:billbronec@wabcpa.com)***

**RAINMAKER SECURITIES, LLC**

**2008 FINANCIAL STATEMENTS**

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***William A Bronec, LTD.  
Certified Public Accountant  
241 Lawton Road  
Riverside, Illinois 60546  
Phone: 708-442-8092  
Fax: 708-442-6521***

***E-Mail: billbronec@wabcpa.com***

## **INDEPENDENT AUDITOR'S REPORT**

To the Members of  
RAINMAKER SECURITIES, LLC

We have audited the accompanying statement of financial condition of Rainmaker Securities, LLC (an Illinois LLC) as of December 31, 2008, and the related statements of income, changes in members' equity, changes in liabilities subordinated to claims of general creditors and cash flows for the year then ended that you are filing pursuant to Rule 17a-5 under the Securities Exchange Act of 1934. These financial statements are the responsibility of the Company's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Rainmaker Securities, LLC, as of December 31, 2008, and the results of its operations and its cash flows for the year then ended in conformity with accounting principles generally accepted in the United States of America.

*William A Bronec, LTD.*

William A. Bronec, LTD.

February 20, 2009

**RAINMAKER SECURITIES, LLC**  
**STATEMENT OF FINANCIAL CONDITION**  
**AS OF DECEMBER 31, 2008**

**EXHIBIT A**

ASSETS	2008
<b>CURRENT ASSETS:</b>	
Cash	\$ 58,993
Certificate of Deposit	500,000
Clearing Deposit - Penson	550,014
Prepaid Expense	<u>3,098</u>
Total Current Assets	<u>\$ 1,112,105</u>
 <b>FIXED ASSETS:</b>	
Furniture & Fixtures	5,100
(Less) Accumulated Depreciation	<u>(2,870)</u>
Total Fixed Assets	<u>\$ 2,230</u>
 Total Assets	 <u><u>\$ 1,114,335</u></u>
 <b>LIABILITIES AND MEMBERS' EQUITY</b>	
<b>CURRENT LIABILITIES</b>	
Accounts Payable	\$ 6,872
Accrued Payroll Tax Liabilities	<u>4,109</u>
Total Current Liabilities	<u>\$ 10,981</u>
 <b>MEMBERS' EQUITY</b>	
Members' Equity	<u>1,103,354</u>
 TOTAL LIABILITIES AND MEMBERS' EQUITY	 <u><u>\$ 1,114,335</u></u>

**RAINMAKER SECURITIES, LLC**  
**NOTES TO FINANCIAL STATEMENTS**  
**DECEMBER 31, 2008**

**NOTE A – GENERAL**

Nature of Business

The Company is a broker-dealer, registered with the Securities and Exchange Commission. It is also a member of the National Association of Securities Dealers. The Company engages in private placements for which it receives fees in various forms.

Summary of Significant Accounting Policies

Revenue Recognition

Commission income and related expenses are recorded on the accrual basis.

Income Taxes

There is no provision for income taxes because the Company is a Limited Liability Corporation (LLC). All of the LLC net profit or net loss flows-through to each member's personal tax return.

Use of Estimates

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the amounts reported in the financial statements and accompanying notes. Actual results could differ from those estimates.

Statement of Cash Flows

For purposes of the statement of cash flows, the Company considers all short-term debt securities with a maturity of three months or less to be cash equivalents.

**RAINMAKER SECURITIES, LLC**  
**NOTES TO FINANCIAL STATEMENTS**  
**DECEMBER 31, 2008**

**NOTE B – NET CAPITAL REQUIREMENTS**

The company is subject to the Securities and Exchange Commission Uniform Net Capital Rule (Rule 15c3-1). Under this rule, the Company is required to maintain “net capital” equal to the greater of \$50,000 or 6 2/3% of aggregated indebtedness, as defined.

As of December 31, 2008, the Company’s net capital and net capital required were \$1,097,401 and \$50,000 respectively. The ratio of aggregate indebtedness to net capital was 1.00%

**NOTE C – CERTIFICATE OF DEPOSIT**

Certificates of deposit generally are not subject to withdrawal limitations. However, a withdrawal before maturity will result in loss earnings and an early withdrawal penalty.

**NOTE D – CLEARING DEPOSIT – PENSON**

Penson requires a \$500,000 clearing deposit.